



7/6/28

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Mark J. Smith  
Serial No.: 10/037,430  
Filed: October 25, 2001

Examiner: Clement B. Graham  
Group Art Unit: 3628  
Docket: 104.0010001

Title: SYSTEMS AND METHODS FOR WEALTH MANAGEMENT

**MS NON-FEE AMENDMENT**

Commissioner for Patents  
P.O. BOX 1450  
Alexandria, VA 22313-1450

We are transmitting herewith the following attached items and information (as indicated with an "X"):

- ☒ Return postcard
- ☒ Amendment and Response Under 37 C.F.R. §1.111 (12 pgs.)

**CERTIFICATE UNDER 37 C.F.R. 1.8:** The undersigned hereby certifies that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail, in an envelope addressed to: MS NON-FEE AMENDMENT Commissioner for Patents, Alexandria, VA 22313-1450, on this 16<sup>th</sup> day of July, 2003.

Sarah L. Reinhard  
Name  
Sarah L. Reinhard  
Signature

Respectfully Submitted,  
Mark J. Smith

By: E.J. BROOKS & ASSOCIATES, PLLC  
1221 Nicollet Avenue, Suite 500  
Minneapolis, MN 55403

Atty: Edward J. Brooks III  
Reg. No.: 40,925

RECEIVED  
JUL 24 2003  
GROUP 3600